



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: James G. Squyres

U.S. Serial No.: Not yet assigned

Filed: Concurrently herewith

For: **METHOD AND SYSTEM FOR COMPARISON AND EVALUATION OF INVESTMENT PORTFOLIOS**

Examiner: To be assigned

Group Art Unit: To be assigned

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Applicants respectfully submit this Information Disclosure Statement pursuant to 37 C.F.R. §§ 1.97 and 1.98 in order to comply with the duty of disclosure under 37 C.F.R. § 1.56. These references are listed on the attached modified PTO Form No. 1449. It is respectfully requested that the information be expressly considered during the prosecution of this application and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

A copy of each of the listed references is enclosed for the convenience of the Examiner.

Applicants state that no item of information contained or listed on the enclosed copy of Form PTO-1449 was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

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Date: July 6, 2001

**LIST OF REFERENCES CITED BY APPLICANT**

(Use Several Sheets if Necessary)

DOCKET NO.: 099782.00001 SERIAL NO. To be assigned
 APPLICANT: James Squyres ART UNIT: To be assigned
 FILING DATE: Concurrently herewith

U.S. PATENT DOCUMENTS

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>NAME</u>	<u>CLASS</u>	<u>SUBCLASS</u>
	5,270,922		Higgins		
	5,414,838		Kolton et al.		
	5,590,325		Kolton et al.		
	5,689,651		Lozman		
	5,880,726		Takiguchi et al.		
	5,893,079		Cwenar		
	5,913,202		Motoyama		
	5,930,774		Chennault		
	5,946,666		Nevo et al.		
	5,983,203		Church et al.		
	6,012,042		Black et al.		
	6,021,397		Jones et al.		
	6,049,783		Segal et al.		
	6,122,635		Burakoff et al.		
	6,175,824		Bretizman et al.		
	6,195,647		Martyn et al.		

FOREIGN PATENT DOCUMENTS

<u>*EXAMINER INITIALS</u>	<u>DOCUMENT NUMBER</u>	<u>DATE</u>	<u>COUNTRY</u>	<u>CLASS/SUB</u>	<u>TRANSLATION YES/NO</u>
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OTHER REFERENCES
(INCLUDING AUTHOR, TITLE DATE, PERTINENT PAGES, ETC.)

EXAMINER: _____ DATE CONSIDERED: _____

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.